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National Endowment for the Humanities

Division of General Programs

Guidelines and Applications Instructions

February 1985

Humanities Programs for Youth

ORIGINAL

Youth Projects

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HUMANITIES PROGRAMS FOR YOUTH

YOUTH PROJECTS

Guidelines and Application Instructions

Division of General Programs

February 1985

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APPLICATION CALENDAR
for
1985, 1986, 1987

Deadline for Suggested Preliminary Narrative	Deadline for Complete Applications	Notification	For Projects Beginning After
April 20	June 15	December	January 1

Complete applications must be received at NEH on or before the deadline. If the deadline falls on a weekend or federal holiday, proposals should arrive by the first workday following the deadline. Packages should be clearly marked "application materials" and sent to:

Youth Projects
Division of General Programs
National Endowment for the Humanities
Room 420
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

Telephone: 202/786-0271

STAFF: HUMANITIES PROGRAMS FOR YOUTH

Leon Bramson, Senior Program Officer

Kathleen Gallagher Glenn Marcus

Carlotta Fendig

Joyce Hudgens, Secretary

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The National Endowment for the Humanities

The National Endowment for the Humanities was established by Congress in 1965 as an independent grant-making agency of the federal government to support scholarship, research, education, and public programs in the humanities.

The Endowment supports work in the humanities through programs administered by an Office of Challenge Grants, an Office of Preservation, and five divisions: Education Programs, Fellowships and Seminars, Research Programs, State Programs and General Programs.

In addition to Youth Projects, the Division of General Programs supports individual research projects for youth through Younger Scholars grants. The division also includes four other programs that support projects for out-of-school audiences: Humanities Programs for Adults, Humanities Projects in Libraries, Humanities Projects in Media, and Humanities Projects in Museums and Historical Organizations.

The Humanities

The term humanities includes, but is not limited to, the study of history: philosophy: languages: linguistics: literature: archaeology: jurisprudence: the history, theory and criticism of the arts: ethics: comparative religion: and those aspects of the social sciences that employ historical or philosophical approaches.

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YOUTH PROJECTS

The Endowment's program for Youth Projects is designed to foster in the nation's youth an increased awareness of the nature and perspectives of the humanities. By taking part in special projects in history, literature, classics, archaeology, history and criticism of the arts, or other disciplines of the humanities, young people can learn the importance of studying their own culture and heritage and come to a greater understanding of other cultures as well. They also can develop essential skills of critical inquiry and interpretation that will serve them throughout their lives.

Although students may build a foundation in the humanities in elementary and secondary school, the Endowment encourages other institutions and organizations to design out-of-school projects for youth of this age for several related reasons. The program rests on the assumption that education can and should continue outside traditional institutions of learning and in conjunction with formal schooling. Introducing young people, in their formative years, to the range of institutions, resources, and activities in the humanities that are available to them outside of school may encourage a lifelong interest in both the humanities and learning itself. Opportunities to learn throughout life are offered by the nation's libraries, museums, historical organizations and community centers, as well as by its colleges and universities. Through out-of-school programs, youth may also be exposed to material and experiences not readily available in the classroom: for example, learning how to use primary sources and documents or doing research on a special collection of a museum. At the same time, participation in projects that deal with topics and approaches not usually taught in the schools can heighten the motivation of young people to pursue studies that are part of their formal education.

The Youth Projects Program has funded local, statewide, and national projects that meet the interests and needs of different groups of youth. Through the Younger Scholars Program, the Endowment also supports individual research with grants to students under age 21 so that they may carry out their own noncredit projects in the humanities during the summer.

PROGRAM REQUIREMENTS AND PROJECT EXAMPLES

Youth Projects should

- clearly focus on specific topics or issues in the disciplines of the humanities and an understanding of techniques and methods appropriate to research in the humanities:

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- be designed for youth of high-school age or younger:
- differ from the normal school curriculum, take place outside of school hours, and not be designed to be taken for credit:
- include the participation of scholars with professional training and experience in the fields of the humanities addressed by the project and the participation of persons experienced in programming for the age group involved: and
- involve youth actively in participatory activities that permit them to learn and apply new knowledge and skills in the humanities (and not limit their activities to a classroom-lecture format).

Although the primary emphasis in a Youth Project should be on learning by the participants, it will be observed from the examples below that many projects result in a product or public presentation. Such products are not a requirement of the program, but they often serve as one way of establishing a focus or goal for the young people's work, as well as allowing them the opportunity to interpret their new knowledge for a wider audience. It should be demonstrated in the application, however, that any resulting products are intrinsic to the project and will enhance the participants' learning in the humanities.

Applicants are expected to discuss the way in which their projects engage at least one of the following three areas:

(1) The Appreciation and Interpretation of Cultural Works

Projects with this emphasis introduce young people to works of literature or philosophy, painting, sculpture, architecture, drama, musical composition, dance, or other cultural forms. Although the NEH does not offer support for the creation of original works or for training in the arts, it does encourage projects that develop a historical, critical, and theoretical approach to the arts.

Example:

A university theater introduces young people to the comedy of Shakespeare as part of a spring festival featuring The Comedy of Errors, The Merchant of Venice, and A Midsummer Night's Dream. During the fall, youth come to the university for a series of seminars held by Shakespeare specialists from the university's English and drama departments. After a careful reading of the plays, they examine different interpretations of the works by literary critics and the importance of staging restrictions to the development of the action of the plays. By viewing videotapes, they are also able to compare the impact of different staged productions. As rehearsals begin, the young people interview the players and the director to gain insight

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into the company's understanding of the text, including their interpretations of roles and decisions regarding the set, costumes, and staging. They then write up the results of this research in pamphlet notes to the plays, which are distributed to school groups at the time of the performance. The youth also attend the festival and write critical essays on the productions, the best of which are published in the university newsletter.

Example:

A library system in a midwestern state organizes a project called "The Frontier World of Willa Cather." Under the direction of the library's staff and scholarly consultants, youth first read the works of Cather that deal with frontier life in the midwest, then compare her use of the frontier with other treatments of the theme in fiction, nonfiction, and visual art. They share their work with other library users by developing an annotated reading list and by preparing exhibitions on aspects of frontier life portrayed in Cather's work, illustrated by passages from the novel. The exhibitions rotate to the local libraries in the system, reaching a statewide audience.

(2) The Illumination of Historical Ideas, Figures, and Events

Projects with this emphasis encourage youth to explore major events, figures, groups, systems of thought, or movements throughout history. Although local history projects are eligible for consideration, they must demonstrate the larger significance of these events.

Example:

A university's classics department, working through the local chapter of the Junior Classical League, introduces students to the legacy of classical antiquity and its importance in the formation of American culture. Youth study the thought of the founding fathers with particular reference to the classical heritage. At the same time, they examine neoclassical art and architecture in the local area, tracing their form and symbolism back to ancient roots. The youth compile the results of their investigations in a guide for other students and the public that is prefaced by an introduction exploring the links between classical antiquity and the early years of the republic.

Example:

In cooperation with the state 4-H program, a university runs a project for youth on the history of the underground railroad. The young people explore historical and literary accounts of the railroad and of its major figures, such as the abolitionist John Brown, the Quaker Levi Coffin, and the escaped slave Harriet Tubman. Students trace the paths that the railroad took through their state and use local resources to do further

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research on the routes and figures that passed near where they live. The aim of the project is to provide students with a richer understanding of an important aspect of pre-Civil War American history.

(3) Understanding the Disciplines of the Humanities

Projects with this emphasis nurture young people's understanding of the methods and insights of the various disciplines of the humanities. The approach of one discipline might be explored in depth, or the perspectives of various disciplines might be brought to bear on a single topic.

Example:

A museum with rich holdings of ancient and medieval art uses its collection to introduce young people to the development of criticism in art history and to varied approaches to the study of mythology. Focusing on representations of the demi-god Heracles, youth examine the ways by which modern art criticism has been able to distinguish artists and trends to arrive at a comprehensive view of this vast period. Simultaneously, they learn to analyze the myth of Heracles from anthropological, archaeological, and literary perspectives. Their examination starts with the origin of the myth in the ancient Near East and extends through its development in the Greco-Roman world to its eventual transformation into Christian imagery during the medieval period. The young people document the results of their study by assembling an exhibition of selected works from the museum's holdings, supplemented by reproductions from other sources, and by writing a descriptive catalogue to assist museum visitors in interpreting the exhibition.

Example:

To give high-school students an intensive introduction to the methods employed in historical research, a college designs a project in collaboration with local museums and libraries, a neighborhood historic preservation organization, and the school system. Youth receive training in the skills used by historians: locating and interpreting primary sources: organizing and analyzing secondary materials: interpreting photographs: conducting oral history interviews: observing and analyzing architecture: and writing up the results of their research. Applying their new skills to the study of four neighborhoods, the young people do research to design and guide walking tours and to prepare written tour guides for the use of visitors and residents of the neighborhoods.

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SPECIAL INITIATIVE FOR THE BICENTENNIAL OF THE U.S. CONSTITUTION

In honor of the 200th anniversary of the U.S. Constitution in 1987, the Endowment invites proposals that examine the principles and foundations of our constitutional government. A bicentennial project is defined as

- any project concerned with the philosophical, literary, historical, and political origins of the Constitution, the relation of the Constitution to American political, social, and intellectual culture, and the connection between self-government and the purpose of human life;

- any project directly related to the text of the Constitution or a constitutional principle, either concerned with the origins or interpretation of the text or principle, or with the development of the text or its application to historical or contemporary issues or problems: or

- any project concerned with the entire range of philosophical and historical questions raised by the Constitution and the founding period.

Example:

A historical society specializing in the eighteenth century develops a program in conjunction with the Boy Scouts to explore the influence of the U.S. Constitution on the establishment and development of younger nations in the Western Hemisphere. Under the supervision of constitutional scholars, Latin American historians, and political scientists, young people first study the Constitution carefully and read general background material about the nations under consideration. Dividing into teams, they then select different countries and examine the relationship between the U.S. Constitution and the founding documents of these countries. The young people also seek to discern the historical influence of each document throughout the history of the country. Organizing the results of their investigations, the youth make presentations sponsored by the historical society and develop a booklet for distribution to the public by the Boy Scouts.

Example:

A university sponsors a series of workshops and activities for Philadelphia school children on the history, ideas, major figures, culture, and architecture of Philadelphia from the beginning of the American Revolution to 1800, with special emphasis on the Continental Convention. Through their research projects, the young people gain an understanding of the way ideas, individuals, and events intersected in one city during the founding period.

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CATEGORIES OF SUPPORT

Youth Projects offer two kinds of grants: (1) planning grants for projects of national or regional scope and (2) implementation grants. Planning Grants are available only for certain kinds of projects. Support may be given for planning large projects of national or regional scope, involving many youth participants and a number of project sites. Support may be requested for planning activities that exceed what could reasonably be absorbed by the institutions involved. Although planning activities may include a pilot program to test the feasibility of the project, the primary goal of the planning period should be to plan a national or regional, multi-site program that meets the requirements for Youth Projects. It should not be assumed, however, that planning grants will necessarily result in future NEH implementation awards. Planning grants usually range from $5,000 to $15,000. Cost sharing is not necessary for planning grants.

Implementation Grants provide support for projects that are fully developed and ready for implementation. Implementation awards are usually for a period of one year or less. The grant period should be appropriate to the project's activities and may begin on or after January 1. Multi-year requests should be discussed with NEH staff prior to submission. Levels of support are based on the needs of an individual project, but the budget must be realistic and cost-effective in terms of the project's goals. Recent awards have ranged from $5,000 to $120,000 with an average of about $30,000. Applicants are encouraged to reach as wide a youth audience as possible, while maintaining the quality of the learning experience for the youth involved. Cost sharing of at least 20 percent of the project's total cost is expected for an implementation grant. (For information on cost sharing, see the section on "Types of Funding" on page 10.)

INELIGIBLE PROJECTS AND ACTIVITIES

Grants for Youth Projects do not support the following types of project or costs:

- projects from profit-making organizations or institutions, or from individuals without an organizational or institutional base (see section, "Who May Apply," on page 11).
- projects dealing primarily with health and social services, athletics or recreational activities, vocational education, juvenile delinquency prevention or criminal rehabilitation, legal services, charity or humanitarian work, or community organization.

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- in-school projects or projects aimed at curriculum development or teacher training (projects designed to improve humanities education in the schools through teacher training and curriculum development may be eligible for consideration in the Elementary and Secondary Schools Program of the NEH Division of Education Programs).

- projects to create musical composition, drama, dance, painting, sculpture, poetry, short stories, novels, or projects providing for performance or training in these arts. Costs related to the performance of art may be supported only if such performance is a necessary part of a program that is focused in the subject matter and methods of the humanities. Inquiries about federal support for creative and performing arts should be addressed to the National Endowment for the Arts, Washington, D.C. 20506.

- projects directed at persuading an audience to a particular political, philosophical, religious, or ideological point of view or projects that advocate a particular program of social action or change.

- costs of conferences or seminars, field trips, or attendance at cultural events, unless these are a secondary part of a much broader program in the humanities.

PLEASE NOTE: The following project costs are allowable under certain circumstances.

Remuneration for Youth Participants

Young people who are making a substantial commitment of time to the project or who must incur expenses to participate may be remunerated if the applicant can demonstrate in the application that this expense is critical to the success of the project.

Foreign Study and Travel

Except under the most limited circumstances the Endowment does not support projects involving travel or study abroad. Further information is available by calling the staff of Youth Programs at (202) 786-0271.

Existing Programs

Existing programs that have not been funded previously by NEH are eligible for support, provided that the grant is requested for a specific project that meets the requirements of the guidelines.

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Renewals

NEH grants support discrete activities with clearly defined objectives for a specified period of time. To provide equitable competition and to extend the impact of the funds as widely as possible, applications to renew a grant so that a project may be extended or repeated are usually less competitive than new projects. Nonetheless, applicants who wish to apply for renewed funding should explain in their applications why additional federal funds should be invested in an activity that has already received support. Such applications should also include detailed evaluations of the initial project and a clear identification of the audience that will be reached if further funding is provided.

HOW APPLICATIONS ARE EVALUATED

All applications go through a process of evaluation that involves four stages:

Panel

All applications are sent to a group of individuals who have knowledge in particular areas of the humanities or have professional experience relevant to the group of proposals under consideration. This group, convened as a panel in Washington, D.C., discusses and evaluates the individual and relative merits of each proposal. New panels are constituted for each cycle of applications: there are no standing panels.

Individual (Specialist) Review

Applications may also be sent to a number of people who have knowledge in the specific subject area of the humanities and to others with a professional background relevant to the proposal. Each reviewer is asked to send the Endowment a written evaluation of the proposal.

Staff

The staff assesses the recommendations and suggestions of the panelists and reviewers and makes its recommendations to the National Council on the Humanities. Generally, the staff's recommendations coincide with those of the evaluators, but they may differ, and at times the staff's recommendations are required when reviewers and panelists fail to reach a consensus.

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The National Council on the Humanities and the Endowment's Chairman

After applications have been evaluated by reviewers and panelists, the staff provides the National Council on the Humanities with information about the proposals, including summaries of the discussions and recommendations of panels and reviewers, and its own assessments and recommendations. The members of the council review the proposals and make their recommendations to the chairman. By law, the chairman has the final responsibility for decisions on applications. No information concerning a proposal's status can be released until after the chairman has made a final decision.

If a proposal is not funded, an applicant may write to the staff of Youth Projects and obtain an account of the reasons that formed the basis for the decision. Submission of a revised proposal at another deadline is always possible, and failure to gain support in one year does not prejudice an applicant's chances for consideration in the next.

Criteria For Evaluation

Panelists and reviewers evaluate the proposal as a whole, noting its specific strengths and weaknesses in meeting the criteria described in these guidelines. They also address the following key questions:

1) Will the project deal with important subjects and ideas in the humanities?

2) Does the project fall within at least one of the three areas emphasized by the Division of General Programs?

3) Will the participatory activities be effective in teaching youth about the topics and methodologies of the humanities? Will they be interesting, challenging, and appropriate to the age group?

4) To what degree are the objectives and plan of work sharply defined, clearly stated, and capable of realization?

5) Do members of the project's staff and its proposed consultants have the qualifications and experience necessary for this project? To what degree is there evidence of close collaboration with humanities scholars through all stages of the project?

6) Is the budget appropriate in terms of the scope and anticipated results of the project?

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TYPES OF FUNDING

The costs of a project are supported by a combination of (1) Endowment funds and (2) cash and in-kind (noncash) contributions, such as donated services and goods, that are contributed to the project by the applicant or by nonfederal third parties. These contributions from the applicant and third parties constitute the organization's cost sharing. All applicants are encouraged to support a portion of the expenses of a project, especially large, costly ones. Except for planning grants, Youth Projects expects cost sharing of at least 20 percent of the total cost of a project. If a project is funded, all cost sharing shown in the budget will be considered a firm commitment to the project.

The Endowment may provide three types of funding for projects: outright funds, matching funds, or a combination of the two.

Outright Funds

An outright grant is one in which the award of Endowment funds is not dependent on the applicant's ability to raise gift funds for the project from third-party donors. For example, a project costing $20,000 might be supported by $5,000 in cost sharing provided by the applicant and an outright grant of $15,000 from NEH. The $5,000 may come entirely from the applicant's own resources, or it may include third-party cash or noncash contributions, provided that these are firm commitments to the project.

Matching Funds

A matching grant is one in which cash gifts to a project from third-party donors are matched by federal dollars, usually on a one-to-one basis. Matching funds are not released to the project until the applicant has actually raised the gifts. For example, a project costing $40,000 might be supported by a $15,000 gift from a third party, $15,000 of NEH matching funds, and an additional $10,000 in cost sharing provided by the applicant.

Combined Grants

The applicant may request a combination of outright and matching funds. For example, if a project will cost $50,000 and $10,000 in gift funds will be raised from third parties, the applicant may request $10,000 in matching funds and $30,000 in outright funds.

There is no obligation to request matching, rather than outright, funds, but applicants are encouraged to do so if the organization has fund-raising capabilities and the project has potential for attracting third-party donations. Applicants who intend to apply for matching funds should refer to the first section of the Appendix, "Matching Funds," for information on eligible and ineligible gifts and donors.

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GRANTEE RESPONSIBILITIES

An institution applying for a grant should be aware that, if funding is approved, its responsibilities will include the following:

- The project's activities must be carried out in accordance with the schedule provided in the application.
- All commitments and obligations of funds must occur within the grant period.
- Changes in the project's scope, focus, personnel, or major adjustments in the budget require approval in advance from the Endowment.
- Records must be kept of the time spent by the project's personnel on grant activities.
- Separate financial records must be kept, within the institution's general accounting system, of the receipt and disbursement of grant funds and cost-sharing contributions to the project. The project must be administered in compliance with federal regulations and generally accepted accounting principles. For nonprofit organizations, a checklist may be requested from the NEH Grants Office that details the basic financial management standards the organization should meet.
- Although grantees retain ownership rights to products of grant activities, acknowledgment of Endowment support must appear in all products of a grant and in publicity materials related to the project.

APPLICATION INFORMATION AND INSTRUCTIONS/COVER SHEET FORM

Who May Apply

Any nonprofit organization is eligible to apply, including

- cultural institutions, such as museums, libraries, historical societies, and professional organizations that serve the humanities:
- educational institutions, such as colleges, universities, schools, and scholarly or learned societies:
- community and youth groups, such as scouting organizations, YM/YWs, and other groups with national or regional networks:
- agencies of state or local government, such as youth agencies and mayors' offices; and

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- nonprofit groups formed by scholars or professionals with experience in the humanities for the purpose of carrying out a Youth Project.

Applicants are not required to be incorporated or to have 501(c)(3) status with the Internal Revenue Service, but obtaining such status is recommended, especially for larger projects.

Applicants are required to show strong collaboration with humanities scholars in the planning, implementation, and evaluation of the project. Past experience has shown that such collaboration results in more competitive applications and more successful projects. In addition, the establishment of close working relationships among different types of institutions in the community can greatly expand the resources and audience available to a project and create new systems of cooperation to provide ongoing humanities programs for youth.

The Preliminary Narrative

It is strongly recommended that applicants submit a preliminary narrative. The preliminary narrative should be received at NEH eight weeks before the deadline for formal applications. The preliminary narrative should consist of a two- or three-page description of the project and an estimated budget. The budget should include general categories of itemization. The narrative should state concisely

- the purpose of the project:
- the humanities discipline(s) and the specific topic(s) in the humanities to be explored:
- the inclusive dates of the project: approximate length of time to be devoted to the major phases of the project:
- the anticipated number and age range of youth to be involved:
- the kinds of activities in which youth will participate to increase their knowledge and skills in the humanities; and
- the major qualifications and expected roles of key members of the staff, including scholars in the humanities and professionals in youth work.

Preliminary narratives for planning grants should discuss the need for a separate planning grant for the project, the nature of the planning activities to be conducted, and the items listed above that are envisioned as the outcome of the planning grant.

The program's staff will review the preliminary narrative and budget in order to respond to the applicant in regard to the project's

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eligibility. If the project does not meet the criteria for eligibility, the sponsoring organization will be saved the work of preparing a complete application. If the project meets basic eligibility criteria, the staff will be available to answer questions about the content of a final proposal or procedures for application.

Only one copy of the preliminary narrative need be sent. Please include the name of a contact person and a daytime telephone number where a message may be left.

Checklist for Completing the Application

A complete application package consists of the following materials. Use standard 8 1/2 x 11-inch paper and number pages consecutively, beginning with the cover sheet as page 1.

Please assemble the application in this order:

(1) Application cover sheet (form and instructions enclosed).

(2) Itemized budget (form and instructions enclosed).

(3) Project description.

(4) Resumes of the project director and other key personnel, including scholars in the humanities, who have been listed in the proposal.

(5) Statements of commitment from consultants, including scholars in the humanities, who have been listed in the proposal.

Please submit a total of 14 copies of items 1-5 above.

The application package must be received at NEH by the published deadline. If the deadline falls on a weekend or federal holiday, proposals should arrive by the first workday following the deadline. When the Endowment receives an application, the project director will be mailed the log number of the application.

Application Cover Sheet (form and instructions enclosed)

Project Description

Most projects can be described adequately in six to ten pages: unusually complex projects may require additional space.

Divide the description into nine subsections with the headings shown below:

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1. Background

In one or two paragraphs, explain the background and progress of the project to date, including

- who has been involved in formulating the project's idea and plan;
- similar or related activities that have taken place in your area or elsewhere.

If this or a closely related project has been supported previously by the National Endowment for the Humanities, include a summary of activities that took place, or are now taking place, under the grant. In this summary discuss

- the goals of the previous project;
- the results of the project, including the number of young people actively involved;
- the roles of collaborators; and
- the ways in which grant activities will contribute to the project for which funds are now sought.

If any final products resulted from the previous grant, it would be helpful to include these with the application. If you wish these materials to be sent to panelists and reviewers, you should include a set with each copy of the application.

2. Youth Participants

Describe the youth population that will benefit from the project. Provide details on

- the total size of the group;
- the range of ages; and
- other special characteristics, if any.

3. Goals and Objectives of the Project

State clearly what is to be accomplished by the project. Explain the topic or subject area in the humanities on which the project will focus. Include in your discussion

- the significance of the topic as a means of introducing youth to important subjects, concepts, or ideas in the humanities;

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- how the project fulfills at least one of the three areas of special interest to the Division of General Programs:
- why the topic will both interest and challenge young people:
- the nature of the project's activities and how they will help young people to increase their knowledge and understanding of the humanities;
- the humanities methodologies or skills to be learned by the young people: and
- if applicable, the nature of any products or events to result from the grant.

4. Staff and Consultants

For the project director, other key members of the staff, and consultants who will work with the project, list their names, titles, institutional affiliations, and main qualifications or experience relevant to their role in the project. The project should involve humanities scholars with advanced training in the subject areas addressed by the project, as well as individuals experienced in working with the age group.

5. Plan of Work

Describe in sequence the tasks, activities, and events during the grant period through which the objectives of the project will be realized. Give a specific calendar of dates, which will show the amount of time to be spent on each phase of activity and which can be used by NEH as a basis for reviewing the progress of the project if a grant is awarded. If the project involves different sites, indicate where the activities will take place.

Because the plan of work is essential in demonstrating that the project can be carried out successfully, it is important that this section be detailed and specific. Be sure to address these questions:

- What cooperating organizations will be involved? How will the knowledge of their staff, their collections, or other resources contribute to the project?
- What roles will the humanities scholars play in defining the project's focus, working with youth, and in other stages of the project? What will be the roles of youth workers and other professionals who will serve

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on the project's staff or as consultants? (State clearly which individuals will have responsibility for the different phases of the project, particularly for training and supervising youth.)

- How will young people be recruited for participation in the project? Roughly how many young people will take part in each phase? How much time will different groups of young people devote to the project?

- What will the young people do? How will they be involved as participants in research, development of materials, workshops, or other activities of the project?

- If the project will involve a primary group of young people in developing resource materials, guidebooks, instruction manuals, presentations, or other products for a larger secondary audience, describe

  -- the products or resources to be developed:

  -- the ways in which the products will be evaluated or their quality assured:

  -- how these materials will be distributed or made available to a wider audience:

  -- the size and identity of the wider audience:

  -- how the materials developed will actively involve the wider audience in learning about the humanities.

- If funds are requested for travel, what are the places to be visited, reasons for the visits, length of the visits, and expected transportation and subsistence costs?

6. Evaluation

Explain plans for documentation and assessment of activities throughout the course of the project. Address the following questions:

- What kinds of information will be sought during the project and at its conclusion? Will the evaluation be done internally, or will there be an outside evaluator?

- What techniques (such as interviews, questionnaires, on-site observations, log books) will be used to evaluate the project?

- How will the information be analyzed? How will results of the project be measured?

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7. Promotion and Dissemination

Where applicable, describe efforts that will be made to ensure dissemination of information on the project, publicity on youth activities, and sharing of the final results with a wider youth audience locally or across the country.

8. Plans for Future

If applicable, discuss any plans for the proposed project beyond the period for which support is requested. For continuing projects, describe efforts that will be made to broaden the base of financial support for the project's activities.

9. Information on Sponsoring Organization

In one or two paragraphs, describe the history, goals, and current programs and activities of the sponsoring organization or institution. If applicable, briefly discuss:

- the ways in which the organization is equipped to carry out the proposed project.
- other programs in the humanities or projects for youth undertaken by the organization in the past.

Resumes

The application package must include resumes for the project's director, other key members of the staff, and consultants. A resume need not exceed two pages and should include information on the person's education--including the institutions, fields and dates of degrees--and any other experience or publications relevant to the proposed project.

Documentation of Participants' Commitment

A signed and dated statement from each of the key personnel (including consultants) not formally affiliated with the applicant institution should be provided. Statements from each of the consultants should indicate their specific commitment to the project, including the amount of time each consultant expects to devote to the project and the nature and extent of the role that he or she expects to play.

In the case of scholars serving as consultants, it is often helpful if their letters can provide additional detail on the approach they will take to the material for which they will be responsible.

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If other institutions or groups will be centrally involved in the project (e.g., as collaborators, sources of recruitment of youth), they also should submit letters of commitment.

All resumes and letters should be attached to the proposal and submitted by the published deadline.

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INSTRUCTIONS FOR COMPLETING BUDGET FORM/BUDGET FORM

The instructions provided below apply only to grants awarded through NEH Youth Projects. Each item is keyed to a section of the project budget form on the following pages. Before completing the budget form, the applicant should review these instructions carefully. Each copy of the proposal that is forwarded to the Endowment should include a complete project budget.

I. TYPE OF BUDGET SUBMISSION: Check the appropriate box; if the applicant or grantee is submitting a revised budget, the identifying application or grant number assigned by the Endowment should be indicated.

II. APPLICANT ORGANIZATION: Provide the official title of the organization/group.

III. DATE PREPARED (self-explanatory)

IV. PROJECT TITLE should be the same as that shown on the application cover sheet.

V. PROJECT DIRECTOR is the person who will undertake the project or be chiefly responsible for directing it.

VI. THE GRANT PERIOD encompasses the entire period for which Endowment funding is requested. In setting the beginning date of the grant period, the applicant should be guided by the information supplied under application deadlines in the application instructions.

VII. PROJECT COSTS are those expenses that will be incurred during the grant period to accomplish project objectives.

All project costs must be
--for services rendered or materials used during the grant period;
--verifiable from the grantee's records;
--necessary and reasonable for the proper and efficient accomplishment of project objectives; and
--types of charges that would be allowable under the applicable federal cost principles.

The SUMMARY BUDGET is a recapitulation of the detailed itemization of project costs that the applicant will provide on pages 2 and 3 of the budget form. All project costs that will be supported by Endowment funds and cost-sharing contributions, whether cash or in.kind, should be listed in the Summary Budget.

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VIII. PROJECT FUNDING consists of funds that the applicant requests from the Endowment and cost sharing that will be provided by the applicant or nonfederal third parties to cover project expenses during the grant period.

(1) Under REQUESTED FROM THE ENDOWMENT, list the amounts of outright (nonmatching) funds and/or matching funds that are requested from the Endowment. (Applicants who request Endowment matching funds should refer to the note at the end of this section before completing the budget form.)

(2) Under COST SHARING, (a) indicate the cash contributions to the project, i.e., the amount of funding that will be provided by the applicant for the project and the sources and amounts of other cash contributions, such as grants and donations, that will be made directly to the applicant by nonfederal third parties, to cover project expenditures, and (b) if in-kind (noncash) contributions, such as donated services and materials, will be made to the project by the applicant or nonfederal third parties, list the type, source, and value of each contribution. (Only those items for which the applicant will not have to outlay funds should be listed as in-kind contributions.)

Twenty percent cost sharing is expected for implementation grants under this program.

Applicants may not include as a cost-sharing contribution to the project funds paid by the federal government under another assistance agreement (unless the agreement is authorized by federal law to be used as cost sharing) or funds that the applicant contributes to meet the cost-sharing requirement of any other federally assisted program.

NOTE: The Endowment is authorized to match gifts that are given to a grantee or prospective grantee of NEH for a specific project as well as gifts that are made direct to NEH on behalf of the project. Applicants who plan to fund a portion of the project costs through gifts that NEH will be requested to match should list the matching funds in section VIII (1) of the project budget form and the sources and amounts of gifts in section VIII (2) a. In the event that the donors and the amounts of gifts have not been identified at the time the application is submitted to NEH, the applicant should enter "various donors" and the total amount of anticipated gifts in the space provided under cash contributions.

TOTAL PROJECT FUNDING is the combined total of funds requested from the Endowment and cost sharing and should equal total project costs.

IX. Under ESTIMATED OUTLAY OF ENDOWMENT FUNDS, the applicant should provide the amounts of Endowment funds required to cover project costs in each twelve-month period of the project. It is important that the figures supplied be accurate and that the outlay information cover only the grant period.

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X. INSTITUTIONAL GRANT ADMINISTRATOR: The signature and telephone number of the person who will be responsible for the administration of the grant, e.g., the review and approval of the project budget and plan of work, the monitoring of the institution's compliance with the terms and conditions of the award, the negotiation of revised budgets, etc. The signature indicates this official's approval of the budget and the agreement of the institution to support project expenses at the level indicated in the budget submission.

XI. BUDGET ITEMIZATION: In this section of the budget form, applicants will provide the budget detail to support the amounts entered in the Summary Budget. Applicants should note the following:

(a) All project costs that will be incurred during the grant period and that will be supported by Endowment funds and cost-sharing contributions, whether cash or in-kind, should be listed in the Budget Itemization;

(b) Pages 2 and 3 of the budget form need not be used if they do not provide sufficient space for budget detail. However, the applicant should provide budgetary information in the same order and with as much supporting detail as is requested on these two pages.

DIRECT COSTS are all costs that can be specifically identified with a project. (If an applicant has a negotiated indirect cost rate or intends to submit an indirect cost proposal to the Endowment, any costs, such as administrative salaries, fringe benefits, general overhead operating costs, that are included in the indirect cost pool, should not be listed in the budget as direct costs.)

1. SALARIES AND WAGES charged as project costs must be reasonable for the services rendered, and, in the case of grants made to organizations, must conform to the established policies of those organizations.

For each entry under salaries and wages, indicate the full-time equivalent, in months, that a person or category of persons will devote to the project. The full-time equivalent for faculty personnel who are paid on an academic year basis, should be listed under academic and/or summer months. For all other project personnel, the full-time equivalent should be indicated under calendar months.

The full-time equivalent in months is calculated by multiplying the fraction of a person's full-time effort for which salary reimbursement will be made with project funds by the duration in months for which salary is to be provided, e.g., 50 percent of full-time effort x 10 months of salary support on project = 5 full-time months: or 75 percent of full-time effort x 6 months of salary support on project = 4.5 full-time months.

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2. FRINGE BENEFITS for salaried personnel may be charged to the project as direct costs only if these benefits are not included in the organization's indirect cost pool.

3. Under CONSULTANT FEES, list payments for professional and technical consultants, stipends, and honoraria. Charges for such fees should be fully justified in the application narrative.

4. TRAVEL COSTS are the expenses for transportation, lodging, subsistence, and related items. These costs must be estimated in accordance with the applicant's established travel practice or written policy, providing that the travel results in a reasonable charge and that less-than-first-class air accommodations are used when they are reasonably available. Foreign air travel must be performed on U.S. flag carriers to the extent available.

In the budget itemization, list the total transportation and subsistence costs for each destination in the respective columns and the total in the right-hand column. List the number of days in travel status for each destination. In the event that more than one person is traveling, the number of days each person is in travel status should be added and the total for that destination listed. On the summary budget, the total costs should be divided into domestic and foreign travel costs.

All charges for travel must be fully justified in the application narrative. Travel for dependents is not an allowable charge to project funds and should not appear in the budget.

5. SUPPLIES AND MATERIALS include consumable supplies, raw materials for the fabrication of project items, and items of expendable equipment, i.e., equipment items costing less than $500 or with an estimated useful life of less than two years.

The Endowment will expect to receive 2 copies of any printed materials and one copy of any film, videotape, audio tape, or slide presentation produced in conjunction with a grant. Please be sure that your budget allows for the cost of any such copies.

6. SERVICES include the cost of contractual services related to project objectives and not otherwise classified under direct costs.

7. OTHER includes such costs as rental of space and/or equipment: costs of shipping, communications, and reproduction: library acquisitions that are an integral part of a grant program: promotion and dissemination costs, etc. (Please note that any rental, communications, or reproduction costs that are included in the organization's indirect cost pool may not be charged to a project as direct costs.)

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Only when an applicant can demonstrate that purchase of permanent equipment--i.e., equipment items costing more than $500 that have an estimated useful life of more than two years--will be less expensive than rental may charges be made to project funds for the purchase of permanent equipment. All purchase or rental of equipment should be fully explained in the application.

Please note that "miscellaneous" and "contingency" are not acceptable budget categories.

INDIRECT COSTS are those costs incurred for common or joint objectives that are therefore not readily assignable to the specific project activities. Typical examples of indirect costs for many nonprofit organizations may include depreciation or use allowances on buildings and equipment, the costs of operating and maintaining facilities, and general administration and general expenses, such as the salaries and expenses of executive officers, personnel, administration, and accounting.

The indirect costs of a project are normally computed by applying a negotiated indirect cost rate to a distribution base. The distribution base is usually direct salaries and wages or the total direct costs of a project, exclusive of capital items and other distorting costs. If an applicant who has not previously negotiated a rate or whose indirect cost rate has expired wishes to claim indirect costs on a project, an indirect cost proposal must be submitted to the cognizant federal agency, i.e., the agency administering the largest dollar amount of federal grants with the organization. In the event that the Endowment is the cognizant agency, the indirect cost proposal should be submitted to the NEH Audit Office. An applicant wishing to delay the submission of an indirect cost proposal until Endowment funding of a project is assured may estimate its indirect costs for the project, but it should be understood that requests for payment on indirect costs cannot be made until an indirect cost rate is negotiated.

For organizations that do not have any other current grants with the Endowment or any immediate plans to submit further applications and that do not wish to submit an indirect cost proposal, the Endowment will not require the negotiation of an indirect cost rate provided that the indirect costs proposed are no greater than 10 percent of direct costs of the project, less distorting items (e.g., capital expenditures, major subcontracts, etc.), or $5,000, whichever is less. However, the amount charged for indirect costs must be supported by the financial records of the organization. This section does not apply to grants in which the organization subcontracts essentially all of the activities of the project.

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Further information on the development of an indirect cost proposal can be obtained by writing to

Audit Office
National Endowment for the Humanities
Room 801
1100 Pennsylvania Avenue, N.W.
Washington, D.C. 20506

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APPENDICES

MATCHING FUNDS

Under the Endowment's current legislation, the chairman of the Endowment is authorized to match, at his discretion, gifts made to NEH or gifts that are given directly to an applicant and that will be used to support budgeted project activities during the grant period. Applicants are encouraged to identify potential sources of gift funds at the time they make an application to the Endowment.

Eligible Gifts

Only gifts of money, including the net proceeds from the sale of noncash gifts, that will be used to support budgeted project activities during the grant period are eligible to be matched with Treasury funds. The source, date of transfer, and amount of the gift or net proceeds from the sale of a noncash gift must be documented in the applicant's records.

An unrestricted gift, i.e., a gift to the applicant that is not given specifically in support of a project, may be certified if the gift will be used to support project activities during the grant.

A gift to an institution or individual associated with a project, which is given specifically in support of a project's activities, may be certified by the applicant if the gift funds are transferred to the applicant and the applicant controls the disbursement of these funds.

Ineligible Gifts

The following items are not eligible gifts:

A. federally appropriated funds, whether they are disbursed to the applicant by an agency of the federal government or through another organization, e.g., an agency of state government, a state humanities council, etc.:

B. income earned from gifts once they are transferred to the applicant;

C. noncash contributions to a project, such as donated services or equipment, that cannot be or are not converted to cash;

D. gifts that are not transferred to the applicant so that the disbursement of the gift funds can be controlled by the applicant;

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E. registration fees or any other fees or charges for participation in or attendance at the project's activities: and

F. deferred gifts.

Ineligible Donors

The following individuals and institutions are not eligible donors:

A. the applicant who will carry out the project;

B. an institution or individual who is involved in the project's activities if the individual, the institution, or those in their employ will receive some form of remuneration from project funds, i.e., salary, stipend, payment for services: and

C. persons living in the same household with and closely related to those who direct grant projects if the project directors receive some form of remuneration for their work from the project's funds.*

*The examples provided in item B and C under Ineligible Donors are instances where the Endowment has concluded that there is the likelihood that the donor is not a disinterested third party. To avoid any possibility of conflict of interest, a gift should not be used to release matching funds when there is the appearance that the donor might benefit financially by giving a gift to a particular project.

EQUAL OPPORTUNITY

The Code of Federal Regulations, Title 45, Part 1110, implements provisions of Title VI of the Civil Rights Act of 1964 and, along with Title IX of the Education Amendments of 1972, Section 504 of the Rehabilitation Act of 1973, and the Age Discrimination Act of 1975, provides that the National Endowment for the Humanities is responsible for ensuring compliance with the enforcement of public laws prohibiting discrimination because of race, color, national origin, sex, handicap, and age in programs and activities receiving federal assistance from the National Endowment for the Humanities. Any person who believes he or she has been discriminated against in any program, activity, or facility receiving federal assistance from the Endowment should write immediately to the director, Office of Equal Employment Opportunity, National Endowment for the Humanities, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.

NOTE: If a proposed project relates to American Indians, Aleuts, Eskimos, or native Hawaiian people and artifacts, an applicant should obtain from the Endowment a copy of its Code of Ethics concerning native Americans. The code establishes certain standards of conduct in research, publication, and public programs involving native American peoples.

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